

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Higuchi et al.

Art Unit : 1623

Serial No. : 10/080,503

Examiner : Lawrence E. Crane

Filed : February 22, 2002

Title : TRICYCLIC QUINOLINONE AND TRICYCLIC QUINOLINE ANDROGEN
RECEPTOR MODULATOR COMPOUNDS AND METHODS

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER

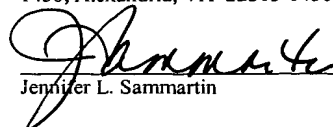
Dear Sir:

Enclosed are a *Power of Attorney by Assignee* and a *Certificate under 37 CFR §3.73(b)*, with a copy of an executed Assignment, and a *Change of Correspondence Address*, in connection with the above-captioned patent. Please update your records to reflect the change of attorneys for the above-captioned patent.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

Date of Deposit **November 15, 2004**

I hereby certify that this paper and the attached papers are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


Jennifer L. Sammartin

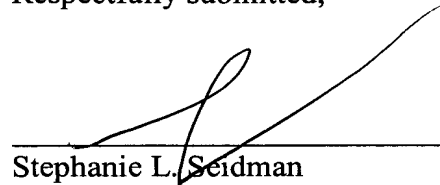
Applicant : Higuchi et al.
Serial No. : 10/080,503
Filed : February 22, 2002
Page : 2 of 2

Attorney's Docket No.: 18202-018001 / 1082

If anything further is required, please do not hesitate to contact the undersigned attorney for the assignee.

☒ The Commissioner is hereby authorized to charge any fees that may be due in connection with this paper or with this application during its entire pendency to Deposit Account No. 06-1050. A duplicate of this sheet is enclosed.

Respectfully submitted,



Stephanie L. Seidman
Reg. No. 33,779

Address all correspondence to:

Stephanie L. Seidman
Fish & Richardson P.C.
12390 El Camino Real
San Diego, California 92130
Telephone: (858) 678-5070
Facsimile: (202) 626-7796
email: seidman@fr.com
10456714.doc



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Higuchi et al. Art Unit : 1623
Serial No. : 10/080,503 Examiner : Lawrence E. Crane
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POWER OF ATTORNEY BY ASSIGNEE

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Revoking any and all powers of attorney and authorizations of agent heretofore made in respect of the above-captioned patent application, the Assignee of the entire interest in this patent application hereby appoints the following as its attorneys, with full power of substitution and revocation, to prosecute the application and to transact all business in the Patent and Trademark Office connected therewith:

STEPHANIE SEIDMAN, Registration No. 33,779; FRED C. HERNANDEZ, Registration No. 41,832, DALE L. RIEGER, Registration No. 43,045; PAULA K. SCHOENECK, Registration No. 39,362 and SCOTT C. HARRIS, Registration No. 32,030. Please direct all telephonic inquiries to Stephanie Seidman at telephone no. (858) 678-5070.

Address all correspondence to:

Stephanie Seidman
FISH & RICHARDSON P.C.
12390 El Camino Real
San Diego, California 92130-2081

Date: 10/8/04

LIGAND PHARMACEUTICALS INCORPORATED

Warner R. Broaddus, General Counsel
Vice President and Secretary



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Higuchi et al. Art Unit : 1623
Serial No. : 10/080,503 Examiner : Lawrence E. Crane
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Title : TRICYCLIC QUINOLINONE AND TRICYCLIC QUINOLINE ANDROGEN
RECEPTOR MODULATOR COMPOUNDS AND METHODS

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

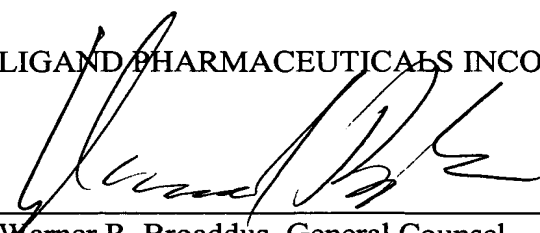
LIGAND PHARMACEUTICALS INCORPORATED, a Delaware corporation, with a current business address of 10275 Science Center Drive, San Diego, California 92121, U.S.A., is the Assignee of the entire right, title and interest in the above-captioned patent application by virtue of an Assignment from the inventors. A copy of the Assignment from the inventors to LIGAND PHARMACEUTICALS INCORPORATED is attached hereto.

The undersigned (whose title is supplied below) is empowered to act on behalf of the Assignee.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

LIGAND PHARMACEUTICALS INCORPORATED

Date: 10/8/04


Warner R. Broadus, General Counsel
Vice President and Secretary



CHANGE OF CORRESPONDENCE ADDRESS Application Address to: Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450	Application Number	10/080,503
	Filing Date	February 22, 2002
	First Named Inventor	Higuchi et al.
	Group Art Unit	1623
	Examiner Name	Lawrence E. Crane
	Attorney Docket Number	18202-018001 / 1082

Please change the Correspondence Address for the above-identified application to:

☒ **Customer Number:** 20985

☐ **Firm or Individual Name** Stephanie L. Seidman

Address Fish & Richardson P.C.

Address 12390 El Camino Real

City San Diego **State** CA **Zip** 92130-2081

Country United States of America

Telephone (858) 678-5070 **Fax** (858) 678-5099

This form cannot be used to change the data associated with a Customer Number. To change the data associated with an existing Customer Number use "Request for Customer Number Data Change" (PTO/SB/124).

I am the :

- ☐ Applicant/Inventor.
- ☐ Assignee of record of the entire interest.
Certificate under 37 CFR 3.73(b) is enclosed.
- ☒ Attorney or agent of record. Registration Number 33,779
- ☐ Registered practitioner named in the application transmittal letter in an application without an executed oath or declaration. See 37 CFR 1.33(a)(1). Registration Number 33,779

Typed or Printed Name Stephanie L. Seidman

Signature

Date 11/15/2004 Telephone (858) 678-5070

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 1 forms are submitted.

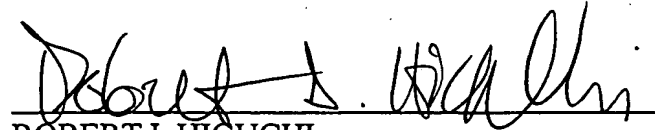
ASSIGNMENT

For valuable consideration, we, ROBERT I. HIGUCHI of Solana Beach, California and a citizen of the U.S.A.; LIN ZHI of San Diego, California and a citizen of The People's Republic of China; DONALD S. KARANEWSKY of Escondido, California and a citizen of the U.S.A.; ANTHONY W. THOMPSON of San Diego, California and a citizen of the U.S.A.; THOMAS R. CAFERRO of San Diego, California and a citizen of the U.S.A.; NEELAKANDHA S. MANI of San Diego, California and a citizen of India; JYUN-HUNG CHEN of San Diego, California and a citizen of Taiwan; MARQUIS L. CUMMINGS of Encinitas, California and a citizen of the U.S.A.; JAMES P. EDWARDS of San Diego, California and a citizen of the U.S.A.; MARK E. ADAMS of San Diego, California and a citizen of the U.S.A. and CHARLOTTE L.F. DECKHUT of San Diego, California and a citizen of the U.S.A. (collectively hereinafter referred to as "Assignors") hereby assign to LIGAND PHARMACEUTICALS, INC., a corporation organized and existing under and by the virtue of the laws of the State of Delaware and having a place of business at 10275 Science Center Drive, San Diego, California 92121, USA, and its successors and assigns (hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the invention and improvements which are the subject of an application for United States Patent filed February 22, 2002, U.S. Serial No. 10/080,503 entitled **TRICYCLIC QUINOLINONE AND TRICYCLIC QUINOLINE ANDROGEN RECEPTOR MODULATOR COMPOUNDS AND METHODS**, and related applications and patents, this assignment including said application, any and all United States and foreign patents granted for any of said inventions or improvements, including all divisions, continuations, reissues, continuations-in-part and extensions thereof, and the right to claim priority based on the filing date of said application and based on the filing date of any provisional application of which said application claims the benefit under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our names or in its own name for patents and like rights of exclusion and for inventor's certificates for said inventions and improvements; and we agree for ourselves and our heirs, legal representatives and assigns, without further compensation, upon request to perform such lawful acts, to promptly

provide Assignee with all pertinent facts and documents relating to said invention or application as may be known and accessible to us, to testify in any interference or litigation related to said invention or application and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this Assignment.

The Assignors hereby covenant that no assignment, sale, agreement, or encumbrance has been or will be made or entered into which would conflict with this Agreement.

WITNESS my hand at San Diego, CA, USA,
this 12 day of April, 2002.


ROBERT I. HIGUCHI

STATE OF CALIFORNIA)
) ss
COUNTY OF SAN DIEGO)

On April 12, 2002 before me, MICHELE P. TRAVIS, personally appeared
ROBERT I. HIGUCHI

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to
be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me
that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their
signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted,
executed the instrument.

WITNESS my hand and official seal.


Notary Public in and for said County and State



WITNESS my hand at San Diego, CA, USA
this 17 day of April, 2002.

[Signature]
LIN ZHI

STATE OF California)
COUNTY OF San Diego) ss

On April 17, 2002 before me, MICHELE P. TRAVIS, personally appeared

LIN ZHI

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

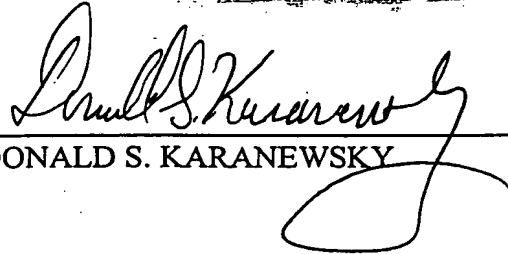
WITNESS my hand and official seal.

[Signature]
Notary Public in and for said County and State



WITNESS my hand at SAN DIEGO, CALIFORNIA

this 18th day of APRIL, 2002.



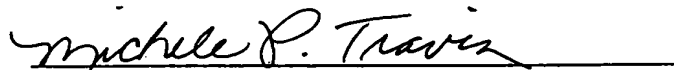
DONALD S. KARANEWSKY

STATE OF California)
COUNTY OF San Diego) ss

On April 18, 2002 before me, MICHELE P. TRAVIS, personally appeared
DONALD S. KARANEWSKY

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

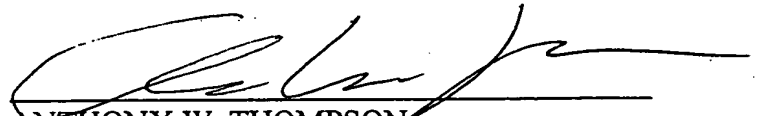
WITNESS my hand and official seal.



Notary Public in and for said County and State



WITNESS my hand at San Diego, CA USA
this 18 day of April, 2002.

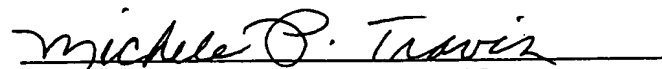

ANTHONY W. THOMPSON

STATE OF California)
COUNTY OF San Diego) ss

On April 18, 2002 before me, MICHELE P. TRAVIS, personally appeared
ANTHONY W. THOMPSON

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.


Notary Public in and for said County and State



WITNESS my hand at Research Triangle Park, NC, U.S.A.,

this 10th day of May, 2002.

Thomas R. Cafarro
THOMAS R. CAFARRO

STATE OF North Carolina)
) ss
COUNTY OF Durham)

On May 10, 2002 before me, _____, personally appeared
THOMAS R. CAFARRO

☐ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Jandra Smith-Dunston Durham
Notary Public in and for said County and State

My Commission expires
1/6/2006

WITNESS my hand at SAN DIEGO, CA, USA

this 11th day of APRIL, 2002.

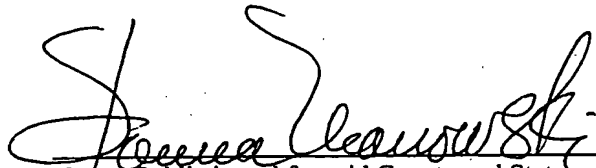

NEELAKANDHA S. MANI

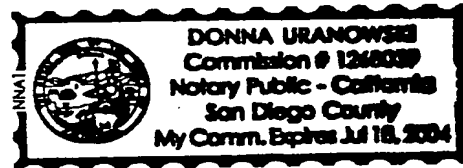
STATE OF CALIFORNIA)
COUNTY OF SAN DIEGO) ss

On _____ before me, _____, personally appeared
NEELAKANDHA S. MANI

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.


Notary Public in and for said County and State



Patent

015110.0058.UTL

WITNESS my hand at San Diego, California, U.S.A.

this 15th day of April, 2002.

Jyun-Hung Chen
JYUN-HUNG CHEN

STATE OF California)
COUNTY OF San Diego) ss

On 15th of April, 2002 before me, MICHELE P. TRAVIS, personally appeared
JYUN-HUNG CHEN

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Michele P. Travis
Notary Public in and for said County and State



WITNESS my hand at San Diego, California U.S.A.
this 18th day of April, 2002.



MARQUIS L. CUMMINGS

STATE OF California)
COUNTY OF San Diego) ss

On April 18, 2002 before me, MICHELE P. TRAVIS, personally appeared
MARQUIS L. CUMMINGS

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.


Notary Public in and for said County and State



WITNESS my hand at San Diego, CA
this 9th day of April, 2002.

James P. Edwards
JAMES P. EDWARDS

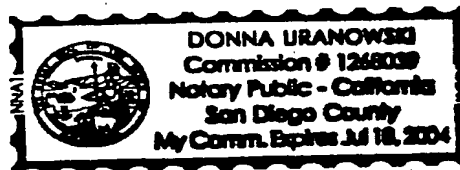
STATE OF CALIFORNIA)
COUNTY OF SAN DIEGO) ss

On _____ before me, _____, personally appeared
JAMES P. EDWARDS

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(~~s~~) whose name(~~s~~) ~~is/are~~ subscribed to the within instrument and acknowledged to me that ~~he/she/they~~ executed the same in ~~his/her/their~~ authorized capacity(~~ies~~), and that by ~~his/her/their~~ signature(~~s~~) on the instrument the person(~~s~~), or the entity upon behalf of which the person(~~s~~) acted, executed the instrument.

WITNESS my hand and official seal.

Donna Uranowski
Notary Public in and for said County and State



WITNESS my hand at San Diego, CA USA
this 19 day of April, 2002.

Mark E. Adams
MARK E. ADAMS

STATE OF California)
COUNTY OF San Diego) ss

On April 19, 2002 before me, MICHELE P. TRAVIS, personally appeared
MARK E. ADAMS

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Michele P. Travis
Notary Public in and for said County and State



WITNESS my hand at San Diego, California
this 10th day of April, 2002.

CLD
CHARLOTTE L.F. DECKHUT

STATE OF California)
COUNTY OF San Diego) ss

On April 10, 2002 before me, Diane Elizabeth DeWitt, personally appeared
CHARLOTTE L.F. DECKHUT

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.



Diane Elizabeth DeWitt
Notary Public in and for said County and State